

PROJECT APPLICATION

The application consists of:

- Checklist
- Applicant Information
- Project Description
- Project Budget
- Certifications, Assurances, and support documentation.

PART 1: CHECKLIST

The following documents must be submitted as part of your application:

- ☐ Checklist
- ☐ Applicant Information
- ☐ Project Description
- ☐ Project Budget
- ☐ Federal Certifications and Assurances
 - ☐ Assurance of Authority of Applicant and it's Representatives
 - ☐ General Assurances
 - ☐ Certification for Civil Rights Complaint Status
 - ☐ Certification of Drug-Free Workplace
- ☐ Support Documentation
 - ☐ Service area map(s)
 - ☐ Organizational Chart
 - ☐ Vehicle Inventory List
 - ☐ IRS 501 (c)(3) letter (Non-Profit agencies only)

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PART 2: APPLICANT INFORMATION

SPECIAL NOTE: The ADOT Section 5310 Handbook and Application document contains critical detail regarding program implementation which also applies to Section 5317. Applicants for Section 5317 funds are strongly encouraged to review the 5310 handbook.

The applicant ☐ HAS ☐ HAS NOT reviewed the Section 5310 material.

GENERAL INFORMATION

Applicant Status

- ☐ Private/Non-Profit Organization
☐ Private for Profit Organization
☐ State/Local Government
☐ Operator of Public Transportation

Primary Service Area

- ☐ Rural ☐ Urban ☐ Both

1. Legal Name of Applicant Organization/Agency

Contact: _____

Title: _____

Address: _____

City: _____ State: ____ Zip Code: _____

Phone: _____ FAX: _____

E-mail: _____

Web Site: _____

2. Transportation Provider Agency Name (if different)

Contact: _____

Title: _____

Alternate Contact: _____

Address: _____

City: _____ State: ____ Zip Code: _____

Phone: _____ FAX: _____

E-mail: _____

Web Site: _____

3. Primary contact for Civil Rights Compliance

Contact: _____
Address: _____
City: _____ *State:* ____ *Zip Code:* _____
Phone: _____ *FAX:* _____
E-mail: _____

4. Does your agency (or subcontractors) utilize unionized labor?☐ No☐ Yes (if yes, please provide the following information)

Union Name: _____
Contact: _____
Address: _____
City: _____ *State:* ____ *Zip Code:* _____
Phone: _____ *FAX:* _____
E-mail: _____

5. If your agency has subcontractors or other transportation providers who will be assisting with your requested project please provide contact information for each of them:

Union Name: _____
Contact: _____
Address: _____
City: _____ *State:* ____ *Zip Code:* _____
Phone: _____ *FAX:* _____
E-mail: _____

PART 3: PROJECT DESCRIPTION

This part of the application is divided into several sections, each covering a different aspect of your organization, its management and your proposed project. Please provide thorough but concise answers to the questions.

A. ORGANIZATION

1. Is your organization a recipient under any of the following programs?

☐ Section 5307 ☐ Section 5310 ☐ Section 5311 ☐ Section 5316 ☐ N/A

2. List the amount of federal money received by your agency in the last three fiscal years.

2007 \$_____ 2008 \$_____ 2009 \$_____

3. Provide a brief description of your agency's primary mission, including a mission statement if available.

4. Provide a summary of the structure of your organization. Provide information on your Board, employees, and volunteers. Identify the employee job title and indicate full time or part time status. Be sure to identify employees with grant-specific job duties (accountant, program manager etc.). Attach an organizational chart at the end of this application.

5. Describe your agency's experience and qualifications in terms of providing passenger transportation. Please include current service area(s), days, and hours of operation.

- 6. Does your organization currently have adequate staffing and resources to carry out your proposed Section 5317 project?** ☐ Yes ☐ No

If no, please explain.

- 7. Describe your organization's resources in terms of equipment, office capability and location, communication system, and institutional capacity.**

- 8. Describe your organization's ability to address federal requirements such as reporting requirements, record keeping, competitive purchasing, bookkeeping, documentation, and invoicing.**

5. Describe how your project will provide new transportation service that will go beyond the ADA requirements.

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6. Describe the operational characteristics of the proposed service (fares, days and hours of operation, types of service).

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This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

C. NEED FOR SERVICE

(If you don't currently provide transportation service, only answer question 6.)

1. How many current annual passenger trips are provided by your agency?

2. Describe how many days current service is operated, noting seasonal differences.

Operating Days per Week _____ Operating Days per Month _____

Describe Seasonal Differences in Service _____

3. List the vehicle service hours and miles your agency provides.

Daily Service Hours _____ Daily Service Miles _____

Weekly Service Hours _____ Annual Service Miles _____

4. Do you operate your current vehicles on: Check all that apply.

☐ Weekdays ☐ Weeknights after 6pm ☐ Weekends

5. Can all requests for service be accommodated with the existing services?

☐ Yes, all requests are accommodated.

☐ No, all requests are not accommodated. Explain.

6. Please describe why the transit service provided by existing public or private transit operators is unavailable, insufficient, or inappropriate to meet the work related transportation needs proposed to be served through this application.

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(Fill out only if requesting a vehicle)

2. How will the requested vehicle(s) be used? *(Provide complete VIN for each vehicle)***Replace Existing:**1st Vehicle being replaced is a _____ (year) with _____ (miles) miles.

Vehicle Description: Make/Model: _____

VIN: _____

2nd Vehicle being replaced is a _____ (year) with _____ (miles) miles.

Vehicle Description: Make/Model: _____

VIN: _____

Service Expansion:Does the vehicle(s) requested have a wheelchair lift? ☐ Yes ☐ No

If not, please describe why:

3. If applying for a non-wheelchair vehicle, do you have a wheelchair vehicle(s) in good working condition in the fleet or under contract which assures equivalent service?☐ Yes. If under contract- please explain:

☐ No. If not, please explain:

4. Describe the service to be provided with the vehicle(s) requested in this application. Include service area, schedule, including hours per day and how many days per week the service will operate.

5. Describe your agency's ability to fund the operation and maintenance for the requested vehicle for at least four years or 100,000 miles.

6. What is the number of passenger trips expected on the vehicle requested?

Daily

Weekly

E. COORDINATION

1. Has your agency participated in a Regional Transportation Coordination Plan planning process?

☐ Yes☐ No

If no, please describe why not:

2. Please describe how your project is consistent with the coordination strategies identified in your Regional Transportation Coordination Plan.

3. Please describe any coordination activities your agency has recently initiated or experienced, list the names of the other agencies involved and include the impact achieved. Include copies of any written or details of oral agreements to collaborate on service or other resource sharing.

F. CIVIL RIGHTS

Civil Rights / Title VI and EEO

1. **Have there been any civil rights complaints, lawsuits, allegations or legal actions filed against your agency in the last two years?**

☐ Yes ☐ No Explain the nature of the complaint(s):

2. **Does your agency have an EEO policy and does that policy include language that prohibits discrimination on the basis of race, national origin, color, sex, age, and disability in the workplace?** ☐ Yes ☐ No

3. **Are the services provided by your agency accessible to your clients, regardless of race, color, national origin, sex, age or disability?** ☐ Yes ☐ No

4. **Do you have a related written policy?** ☐ Yes ☐ No

If yes, describe the process you use that ensures nondiscrimination in terms of the services you provide.

CIVIL RIGHTS / LIMITED ENGLISH PROFICIENCY (LEP)

5. Are you aware of your obligation to comply with Limited English Proficiency (LEP) requirements? ☐ Yes ☐ No

6. How do you ensure that persons with LEP needs can access your services?

7. Does your organization have a Limited English Proficiency (LEP) plan?
☐ Yes ☐ No

CIVIL RIGHTS / DISADVANTAGED BUSINESS ENTERPRISE (DBE)

8. During the past 4 years has your agency received vehicles from ADOT?
☐ Yes ☐ No

9. During the past 4 years has your agency received Mobility Management, Operating and/or Capital funding awards from ADOT? ☐ Yes ☐ No

10. Has your agency developed an approved DBE program? ☐ Yes ☐ No
If no, please explain.

11. Has your agency adopted the ADOT DBE program? ☐ Yes ☐ No

12. What good faith efforts has your agency made to purchase from DBE vendors?

Civil Rights / ADA

The Americans with Disabilities Act of 1990 (ADA) requires that persons with disabilities receive the same level service from a transportation system as non-disabled persons. Services that are "separate but equal" are not acceptable (i.e., all individuals using wheel chairs on one bus and everyone else on another bus).

All Section 5317 recipients must keep federally funded equipment and facilities in good operating condition. Recipients must have policies and procedures to maintain vehicles effectively. Recipients must maintain, in operative condition, those features of facilities, vehicles, and other capital equipment that are required to make them accessible. ADA accessibility features must be repaired promptly if they are damaged or out of order. Recipients must establish a system of regular and frequent maintenance checks of lifts sufficient to determine if they are operative.

13. Does your agency have in place written policies, procedures regarding the following requirements of the ADA?

- | | |
|------------------------------|--|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Lift vehicle availability? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Maintenance of accessible features on vehicle? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Adequate time for vehicle boarding and disembarking? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Use of portable oxygen/respirator equipment allowed? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Service animals allowed? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No Training (wheelchair securement, sensitivity to passengers etc)? |

14. FTA requires that if you have any non-lift equipped vehicles in your inventory, you must be able to provide "equivalent service" through some other means, such as sufficient other accessible vehicles, a written agreement with another provider in your service area to provide a lift-equipped vehicle when needed. Do you have at least one working, wheelchair accessible vehicle, meeting ADA standards, with available and qualified driver(s), for each of your primary services areas? A YES statement, below, also indicates that your system has a "back up" plan should it's accessible vehicle(s) be rendered out-of-service for more than a few days.

☐ Yes ☐ No If no, please explain.

- 15. Is information on your service provided in accessible formats, if requested? Explain how: 1) a hearing impaired person, and 2) a visually impaired person would request a ride on your service.**

- 16. Has your agency ever turned down a request for transportation from a person with a disability?**

☐ Yes If Yes, please explain. ☐ No

Is your turndown rate higher for people with disabilities than for the non-disabled?

☐ Yes ☐ No

If yes, please explain.

- 17. Are inspections of ADA equipment, including lifts, ramps, securement devices, signage, and communication systems part of your agency's pre-trip and post trip inspection checklists?**

☐ Yes ☐ No If no, please explain.

- 18. If ADA deficiencies are found during your agency's pre-trip and post-trip inspections? What is done? How do you maintain equivalent service for persons with disabilities?**

CAPITAL BUDGET DETAIL

List capital expenses for all requested items. Mobility management projects are considered a capital expense and should be included in this request.

Capital Equipment:

Requested Item	Quantity	Unit Cost	Subtotal
			\$
			\$
			\$
Equipment Total			\$
<u>Mobility Management:</u> <i>(Including personnel and related costs)</i>			
			\$
			\$
Mobility Management Total			\$

TOTAL CAPITAL COST:	\$
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FTA 5316 Match Ratio 80/20

Federal Share (not to exceed 80% of total)			\$
Local Share			\$
		TOTAL COST	\$
MATCH FUNDING SOURCE: List each source and amount <i>Federal \$ may be used as a match source with the exception of DOT funds.</i>			
Name of Source	Type of funding		Amount
1			\$
2			\$
3			\$
			\$

FTA 5317 Match Ratio 80/20

Federal Share (not to exceed 80% of total)			\$
Local Share			\$
		TOTAL COST	\$
Match Funding Source: List each source and amount <i>Federal \$ may be used as a match source with the exception of DOT funds.</i>			
Name of Source	Type of funding		Amount
1			\$
2			\$
3			\$
			\$

ARIZONA DEPARTMENT OF TRANSPORTATION

OPERATING BUDGET DETAIL

List operating expense details. All expenses must directly relate to grant activities for eligibility.

OPERATING EXPENSES**Personnel/ Voucher Program Operating Expenses:**

Salaries	\$
Fringe Benefits	\$
Voucher Program Expenses	\$

Other Operating Expenses:

Fuel and Oil	\$
Tires, Parts, Maintenance	\$
Vehicle Licenses, Insurance	\$
Other Operating Expenses (<i>Specify Below</i>)	\$

OPERATING EXPENSES SUBTOTAL:

\$

OPERATING REVENUES

Fare Revenues	\$
Other Operating Revenues (<i>Including Advertising</i>)	\$

OPERATING REVENUES SUBTOTAL:

\$

NET OPERATING COSTS

\$

(*Subtract operating revenue subtotal from operating expense subtotal*)

FTA 5316 Match Ratio 50/50

Federal Share (not to exceed 50% of total)	\$
Local Share	\$

TOTAL OPERATING COST: \$**MATCH FUNDING SOURCE: *List each source and amount****Note: Federal \$ may be used as a match source with the exception of DOT funds.*

Name of Source	Type of funding	Amount
1		\$
2		\$
3		\$

LOCAL SHARE TOTAL: \$

PART 5: FEDERAL CERTIFICATES & ASSURANCES & OTHER FORMS

The following forms must be included with the application for Section 5317 (New Freedom Program) funding. If any of the following forms are not submitted with your application. The application will be considered “incomplete” and will not be a part of the application review panel.

- ☐ Affirmation of the Applicant and Applicant’s Attorney
- ☐ Assurance of Authority of Applicant and its Representatives
- ☐ General Assurances
- ☐ Drug-Free Workplace Act Certification
- ☐ Certificate of Compliance with Manufacturer’s Maintenance Schedule
- ☐ Coordination Certification

ARIZONA DEPARTMENT OF TRANSPORTATION

FEDERAL FISCAL YEAR 2011 FTA
CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for FTA assistance and all active FTA Recipients)

AFFIRMATION OF APPLICANT

Name of Applicant: _____

Name and Relationship of Authorized Representative: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and follow applicable Federal directives, and comply with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2011.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in this document, should apply, as provided, to each project for which the Applicant seeks now, or may later seek FTA assistance during Federal Fiscal Year 2011.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31 apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 49 U.S.C. Chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing certifications and assurances, and any other statements made by me on behalf of the Applicant are true and correct.

Signature _____ Date: _____

Name _____
Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): _____

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the certifications and assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the certifications and assurances have been legally made and constitute legal and binding obligations on the Applicant.

I further affirm to the Applicant that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these certifications and assurances, or of the performance of the project.

Signature _____ Date: _____

Name _____
(Attorney for Applicant)

Each Applicant for FTA financial assistance and each FTA Recipient with active project(s) must provide an Affirmation of Applicant's Attorney form pertaining to the Applicant's legal capacity.

GENERAL ASSURANCES – SECTION 5317 (NEW FREEDOM)

We the governing body of _____ in approving the submission of the attached application, certify that the APPLICANT has the legal authority and is willing to make as part of the contract between the State of Arizona and the APPLICANT for Federal Transit Administration Section 5317 financial assistance, the following assurances:

- A. As required by 49 U.S.C. 5316(f)(1), which makes the requirements of 49 U.S.C. 5307 applicable to New Freedom (NEW FREEDOM) formula grants, and 49 U.S.C. 5307(d)(1), the Applicant for NEW FREEDOM Formula Program assistance authorized under 49 U.S.C. 5316, certifies on behalf of itself and its subrecipients, if any, as follows:
- (1) In compliance with 49 U.S.C. 5307(d)(1)(A), the Applicant has or will have the legal, financial, and technical capacity to carry out its proposed program of projects, including safety and security aspects of that program;
 - (2) In compliance with 49 U.S.C. 5307(d)(1)(B), the Applicant has or will have satisfactory continuing control over the use of project equipment and facilities;
 - (3) In compliance with 49 U.S.C. 5307(d)(1)(C), the Applicant will adequately maintain the project equipment and facilities;
 - (4) In compliance with 49 U.S.C. 5307(d)(1)(D), the Applicant will ensure that elderly individuals and individuals with disabilities, or any person presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*), will be charged for transportation during non-peak hours using or involving a facility or equipment of a project financed with Federal assistance authorized under 49 U.S.C. 5316 not more than fifty (50) percent of the peak hour fare;
 - (5) In compliance with 49 U.S.C. 5307(d)(1)(E), the Applicant, in carrying out a procurement financed with Federal assistance authorized under 49 U.S.C. 5316: (1) will use competitive procurement (as defined or approved by the Secretary), (2) will not use exclusionary or discriminatory specifications in its procurements, (3) will comply with applicable Buy America laws, and (4) will comply with the general provisions for FTA assistance of 49 U.S.C. 5323 and the third party procurement requirements of 49 U.S.C. 5325;
 - (6) In compliance with 49 U.S.C. 5307(d)(1)(F), the Applicant has complied with or will comply with the requirements of 49 U.S.C. 5307(c). Specifically, it: (1) has made available, or will make available, to the public information on the amounts available for the NEW FREEDOM Formula Grant Program, 49 U.S.C. 5316, and the projects it proposes to undertake; (2) has developed or will develop, in consultation with interested parties including private transportation providers, the proposed projects to be financed; (3) has published or will publish a list of projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant; (4) has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects; (5) has ensured or will ensure that the proposed projects provide for the coordination of transportation services assisted under 49 U.S.C. 5336 with transportation services assisted by another Federal Government source; (6) has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects; and (7) has made or will make the final list of projects available to the public;
 - (7). In compliance with 49 U.S.C. 5307(d)(1)(G), the Applicant has or will have available and will provide the amount of funds required by 49 U.S.C. 5316(g) for the local share, and that those funds will be provided from approved non-Federal sources except as permitted by Federal

ARIZONA DEPARTMENT OF TRANSPORTATION

law;

- (8). In compliance with 49 U.S.C. 5307(d)(1)(H), the Applicant will comply with: 49 U.S.C. 5301(a) (requirements for public transportation systems that maximize the safe, secure, and efficient mobility of individuals, minimize environmental impacts, and minimize transportation-related fuel consumption and reliance on foreign oil); 49 U.S.C. 5301(d) (special efforts to design and provide public transportation for elderly individuals and individuals with disabilities); and 49 U.S.C. 5303 through 5306 (planning and private enterprise requirements); and
- (9) In compliance with 49 U.S.C. 5307(d)(1)(I), the Applicant has a locally developed process to solicit and consider public comment before raising a fare or implementing a major reduction of public transportation;
- B. In compliance with 49 U.S.C. 5316(d), the Applicant certifies that (1) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(A), it will conduct in cooperation with the appropriate MPO an area wide solicitation for applications, and make awards on a competitive basis and (2) with respect to financial assistance authorized under 49 U.S.C. 5316(c)(1)(B) or 49 U.S.C. 5316(c)(1)(C), it will conduct a statewide solicitation for applications, and make awards on a competitive basis;
- C. In compliance with 49 U.S.C. 5316(f)(2), the Applicant certifies that any allocations to subrecipients of financial assistance authorized under 49 U.S.C. 5316 will be distributed on a fair and equitable basis;
- D. In compliance with 49 U.S.C. 5316(g)(2), the Applicant certifies that, before it transfers funds to a project funded under 49 U.S.C. 5336, that project will have been or will have been coordinated with private nonprofit providers of services; and
- E. In compliance with 49 U.S.C. 5316(g)(3), the Applicant certifies that: (1) the projects it has selected or will select for assistance under that program were derived from a locally developed, coordinated public transit-human services transportation plan; and (2) the plan was developed through a process that included representatives of public, private, and nonprofit transportation and human services providers and participation by the public.

Signature: _____

Date: _____

Title of Authorized Official: _____

Drug-Free Workplace Act Certification for a Public or Private Entity

_____ certifies that
it will provide a drug-free workplace by:

- a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- b) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The applicant's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and,
 - (4) The penalties that may be imposed upon employees for drug abuse violations in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a);
- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- e) Notifying the Federal agency in writing, within ten calendar days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee is working, unless the Federal agency has designated a contact point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant or cooperative agreement.
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who was convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency.
- g) The Applicant's headquarters is located at the following address. The addresses of all workplaces maintained by the Applicant are provided on an accompanying list.

Drug-free Workplace, cont'd

Name of Applicant: _____

Address: _____

Signature of Authorized Official: _____

Title: _____ Date: _____

**CERTIFICATE OF COMPLIANCE WITH
MANUFACTURER'S MAINTENANCE SCHEDULE**

THIS IS TO CERTIFY THAT

(Agency Name)

An applicant for a grant under provisions of the New Freedom Program (49 U.S.C. § 5317 of the Federal Transit Act), agrees to abide by the vehicle manufacturer's schedule of maintenance, as a minimum, during the period this vehicle is operated in conjunction with the Arizona Department of Transportation, or its successor agency.

DATE

AGENCY

NAME: _____

Signature of Authorized Official

COORDINATION CERTIFICATION

(Agency Name)

Hereby certifies that the project described in the enclosed application for funding assistance from the ADOT/FTA Section 5317 New Freedom Program, was derived from a *locally (i.e., regionally) developed, coordinated public transit-human services transportation planning process*, that the applicant-agency has participated in this process, and that – to its knowledge at the time of this certification – its intent to seek grant funding assistance for this project, or a project sufficiently similar to the applied-for project (as determined by the applicant's COG or MPO office), has been – or will be – included in the recommended Program-of-Projects of its region's coordinated human services transportation plan. Further, the applicant has had ample opportunity to participate in, and contribute to, this plan, and certifies that it will engage in local and regional coordination activities to the best of its ability, including but not limited to applicable activities discussed in the above-mentioned plan.

Name of Authorized Official (Applicant)

Signature of Authorized Official (Applicant)

Date

REVIEWER USE ONLY:

Name of Authorized Official (COG/MPO)

Signature of Authorized Official (COG/MPO)

Date

Note: this is an ADOT form supportive of federal initiatives, guidance and regulation in the area of coordination and is developed from, among other references, specific requirements of the Section 5316 program.

For MAG Region Applicants Only
(Submit to MAG On or Before Application to ADOT)

2011 Commitment to Strategies for
FTA Section 5310, 5316 and 5317 applicants

SAFETEA-LU requires any agency applying for Section 5310 funds (Elderly Individuals and Individuals with Disabilities); Section 5316 funds (Job Access and Reverse Commute); and/or Section 5317 funds (New Freedom) funds; to respond to a locally derived human services transportation coordination plan. Agencies will demonstrate compliance with the 2011 MAG Human Services Coordination Transportation Plan Update as evidenced by the following:

1. Attendance at designated human services transportation meetings to assist in the development and implementation of regional coordination planning.
- F. Compliance with information and data requests to aid in the collaborative efforts of the planning process.
- Demonstrated support and achievement of goals in the plan as appropriate and identified in the plan.

Agency data gathering and feedback is a valued part of the regional human services transportation coordination effort. Strategies identified in the coordination process are the collaborative effort of all participating agencies. A successful and relevant plan will assist the agencies in their mission to serve elderly persons, and persons with disabilities and low income.

I do hereby agree, on behalf of my organization, that we will actively support strategies developed in the plan in compliance with SAFETEA-LU regulations. Our participation will continue throughout the term of the grant.

Printed Name

Title

Signature

Organization

Date

PART 6: SUPPORT DOCUMENTATION

In the section below please provide any support documentation for your project

- Service Area Map(s)
- Organizational Chart
- Vehicle Inventory List
- IRS 501(c)(3) letter (Non-profit agencies only)

TOTAL FLEET VEHICLE INVENTORY

Instructions

Use the vehicle condition and classification code table (below) to complete the information on the total vehicle fleet inventory table on the next page. Please provide individual vehicle information on all vehicles used to carry passengers in your fleet.

VEHICLE CLASSIFICATION AND VEHICLE CONDITION CODE TABLES

(Use the following codes for completing the table on the next page.)

VEHICLE CLASSIFICATION TYPE	CODE
HEAVY DUTY 40 + FOOT BUSES	1
HEAVY DUTY LESS THAN 40 BUT GREATER THAN 30 FOOT BUSES	2
MEDIUM DUTY 20-30 FOOT BUSES OR MINI-BUSES	3
LIGHT DUTY 20-30 FOOT VANS (Larger Cutaways, and Maxi-Vans, etc.)	4
LIGHT DUTY 15-25 FOOT VANS (Small Cutaways, Mini-Vans , Small Maxi-Vans (including lift vans) & "Suburbans"/large 4x4 wagons)	5
SUPPORT VEHICLES (Sedans, Station Wagons, Pickups, etc.,)	6
NOTE: Vehicle footage is measured from bumper to bumper)	
VEHICLE CONDITION DEFINITIONS	CODE
EXCELLENT: Brand new or less than one year old, no major problems exist, or only routine preventative maintenance is required.	5
GOOD: Elements are in good working order, requiring only nominal or infrequent minor repairs.	4
ADEQUATE: Requires frequent minor repairs or infrequent major repairs. Elements are in adequate working order and the asset's usage can continue.	3
POOR: Requires frequent major repairs, elements are in poor working order, or asset is technologically dated and requires major retrofit. Future usage requires significant investment, which may or may not be cost-effective.	2
FAILURE: In sufficiently poor condition that continued use is impossible or non-cost-effective.	1

TOTAL FLEET – VEHICLE INVENTORY AND CONDITION – list only vehicles in the service area for which this application is made.
(Includes all vehicles used for passenger service – ADOT / FTA and NON – ADOT / FTA funded vehicles). **Verify all VIN(s) are accurate and indicate on the last column to the right if the vehicle(s) is being replaced in this application.**

PROVIDER NAME: _____

[illegible]

ARIZONA DEPARTMENT OF TRANSPORTATION

[illegible]

APPENDIX

- Glossary of Terms
- Federal Program References

GLOSSARY OF TERMS

ADOT – Arizona Department of Transportation, the authorized Grantee for the State's JARC and New Freedom Programs for rural and small urban areas under 200,000 population, as well as the Section 5310 Program which serves all urban and rural regions of the state.

Arizona Rides – A Governor Executive Order (2005-16) – signed July 2005 – and initiative designed to encourage state agencies to coordinate and collaborate on programs serving human service agency transportation needs; an outgrowth of the President's federal "United We Ride" Order and initiative. See United We Ride.

Council of Government (COG) – A regional planning agency whose membership is composed of the incorporated cities, towns and counties within a prescribed area defined by the geographic boundaries of agreed-upon counties and which, *for the purposes of ADOT's grant programs*, represents predominately rural areas and communities under 50,000 population. See MPO.

Cutaway – A popular medium sized transit vehicle widely used in ADOT's programs, usually dual-rear-wheel in configuration and wheelchair-lift equipped. Some smaller variants do not require a Commercial Drivers License (CDL) to operate. See Lift Van.

Designated Recipient – Any local or state agency applying for and receiving formula and Surface Transportation Program (STP) flexible grant funds directly from—and authorized by—the federal government (e.g., FTA).

ADOT is the Designated Recipient for Arizona for the following grant programs:

- Section 5304 – State Planning, primarily for rural portions of the state.
- Section 5310 – See description below.
- Section 5311 – See description below.
- Section 5316 – JARC – for rural and small urban areas under 200,000 population.*
- Section 5317 – New Freedom – for rural and small urban areas under 200,000 population.*

** For urbanized Maricopa and Pima Counties over 200,000 population, the City of Phoenix and Tucson respectively are the FTA designated recipients.*

FTA – The Federal Transit Administration, the implementing agency of the US Department of Transportation for all federal transit programs.

Grantee – A Grantee is the State agency receiving grants. The State is the federally designated Grantee.

ITS – Intelligent Transportation Systems – communications technology-driven equipment, hardware, software or other data formats or images designed to increase the quality, quality, or timeliness of information delivered or displayed to end user-customers or service providers on the status or other characteristics of a transportation system.

JARC – Job Access & Reverse Commute Program. See Section 5316.

Lift Van – A small (less than 20 feet long) vehicle widely used in ADOT's programs, single rear-wheel (per side) configuration, equipped with wheelchair lift and raised roof, and not currently requiring a Commercial Drivers License (CDL) to operate. Also known as Maxivan With Lift.

Mobility Management – A short-range planning function comprised of personnel and/or equipment (data or communications hardware, software, etc.) designed to increase inter-agency, regional and statewide coordination.

Metropolitan Planning Organization (MPO) – A regional planning agency representing a predominately urban area, encompassing all or part of a county. Some MPOs are also COGs. However, for the purposes of ADOT's grant programs, MPO describes an agency whose region has a significant urban core/population center over 50,000 population and focus of activity although their regional boundaries may also encompass significant rural areas. See COG.

New Freedom – New Freedom Program. See Section 5317.

Recipient – A recipient is the agency receiving grant awards, whether from the State or directly from the federal government.

SAFETEA-LU – The federal authorizing legislation (by Congress) since 2005 of all surface transportation program funding including highway and transit, and which governs all FTA programs through at least September 2009, at which time new authorizing legislation is scheduled to take precedence.

Section 5307 – *Urbanized Area Formula* transportation program for communities >50,000 population. As communities grow past the 50,000 population threshold they move in status from the 5311 program into the "small urban area" portion of the *FTA 5307* Program, which is administered directly by the Grantee and FTA, with only peripheral ADOT involvement. ADOT continues to mentor these transitional communities until they achieve "full" 5307 status. Section 5307 and 5310 are highly encouraged to coordinate services and resources wherever possible.

Section 5310 – Elderly Individuals & Individuals With Disabilities Program is a FTA formula grant program administered in Arizona by ADOT for all regions that is designed to provide financial assistance (primarily ADOT procured vehicles and Mobility Management awards) to agencies serving seniors and persons with disabilities of all ages.

Section 5311 – Rural Public Transportation (also known as Non-Urbanized Formula Program) is a FTA formula grant program administered in Arizona by ADOT, designed to provide communities under 50,000 population with operating and capital assistance with which to run local transit programs.

Section 5316 – Also known as **Job Access & Reverse Commute** is a FTA program under SAFETEA-LU and administered in Arizona by ADOT to assist low income individuals with work related transportation. This program consists of Mobility Management awards, Capital and Operating funds.

Section 5317 – Also known as **New Freedom** is a FTA formula grant program administered in Arizona by ADOT for rural and small urban areas under 200,000 population and is designed to provide transportation services for persons with disabilities which “go above and beyond” ADA requirements many systems currently must follow (but also which there is often limited in funding for additional services for). This program consists of Mobility Management awards, Capital and Operating funds.

Subrecipient – A subrecipient is a *local* recipient (or contractor) of a designated recipient who is receiving grant awards from the State or directly from the federal government.

United We Ride – A Presidential Executive Order (2004) signed in February of 2004 and federal initiative designed to encourage federal agencies to coordinate and collaborate on programs serving human service agency transportation needs, with the aim to reduce waste between programs with common or similar transportation objectives, and increase service quality for the transportation-challenged populations they serve. See Arizona Rides.

FEDERAL PROGRAM REFERENCES

1. Federal Transit Laws, Title 49, United States Code, Chapter 53.
2. Federal-aid highway and surface transportation laws, Title 23, United States Code.
3. Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, (SAFETEA-LU) (Pub. L. 109-59, 119 Stat. 1144, Aug. 10, 2005).
4. Transportation Equity Act for the 21st Century (TEA-21) (Pub. L. 105-178, 112 Stat. 107, June 9, 1998).
5. Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) (Pub. L. 102-240, 105 Stat. 1914, Dec. 18, 1991).
6. Federal Public Transportation Act of 1978 (Pub. L. 95-599, Nov. 6, 1978).
7. Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 et seq.
8. Government Performance Results Act of 1993, as amended (Pub. L. 103-62, 107 Stat. 285, Aug. 3, 1993).
9. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794.
10. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d.
11. Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000e.
12. Clean Air Act, as amended, 42 U.S.C. 7401 et seq.
13. Section 404 of the Clean Water Act, as amended, 33 U.S.C. 1344.
14. Policy on Lands, Wildlife, and Waterfowl Refuges, and Historic Sites, 49 U.S.C. 303.
15. Section 106 of the National Historic Preservation Act, 16 U.S.C. 470f.
16. Internal Revenue Code, Non-profit Organizations, 26 U.S.C. 501.
17. Lobbying Restrictions, 31 U.S.C. 1352.
18. Disadvantaged Business Enterprises, 23 U.S.C. 101 note.
19. Congressional Declaration of Policy Respecting Insular Areas, 48 U.S.C. 1469a.

ARIZONA DEPARTMENT OF TRANSPORTATION

20. Program Fraud Civil Remedies Act, 31 U.S.C. 3801 et seq.
21. Uniform Relocation Assistance and Real Property Acquisitions Policies Act of 1970, as amended, 42 U.S.C. 4601, et seq.
22. Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 et seq.
23. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq.
24. National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 et seq.
25. Federal Funding Accountability and Transparency Act of 2006 (Pub. L 109–282, 120 Stat. 1186, Sept. 26, 2006).
26. Davis-Bacon Act, as amended, 40 U.S.C. 3141 et seq.
27. Drug-Free Workplace Act of 1988, as amended, 41 U.S.C. 701 et seq.
28. U.S. DOT regulations, “Organization and Delegation of Powers and Duties,” 49 CFR part 1.
29. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR part 18.
30. U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” 49 CFR part 19.
31. U.S. DOT regulations, “New Restrictions on Lobbying,” 49 CFR part 20.
32. U.S. DOT regulations, “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act of 1964,” 49 CFR part 21.
33. U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs,” 49 CFR part 24.
34. U.S. DOT regulations “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25.
35. U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 CFR part 26.

ARIZONA DEPARTMENT OF TRANSPORTATION

36. U.S. DOT regulations, "Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance," 49 CFR part 27.
37. U.S. DOT regulations, "Government wide Debarment and Suspension (Nonprocurement)," 49 CFR part 29.
38. U.S. DOT regulations, "Government wide Requirements for Drug-Free Workplace (Financial Assistance)," 49 CFR part 32.
39. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR part 37.
40. U.S. DOT regulations, "Americans with Disabilities Act (ADA) Accessibility Specifications for Transportation Vehicles," 49 CFR part 38.
41. U.S. DOT regulations, "Procedures for Transportation Workplace Drug and Alcohol Testing Programs," 49 CFR part 40.
42. FTA regulations, 49 CFR Subtitle B Chapter VI.
43. Joint Federal Highway Administration/FTA regulations, "Planning Assistance and Standards," 23 CFR part 450 and 49 CFR part 613.
44. Joint Federal Highway Administration/FTA regulations, "Environmental Impact and Related Procedures," 23 CFR part 771 and 49 CFR part 622.
45. Federal Motor Carrier Safety Administration regulations, "Controlled Substances and Alcohol Use and Testing," 49 CFR part 382.
46. U.S. Department of Treasury regulations, "Rules and Procedures for Efficient Federal-State Funds Transfers," 31 CFR part 205.
47. U.S. Environmental Protection Agency regulations, "Determining Conformity of Federal Actions to State or Federal Implementation Plans," 40 CFR part 93.
48. Executive Order 12372, "Intergovernmental Review of Federal Programs," July 14, 1982.
49. Executive Order 12898, "Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations," Feb. 11, 1994.
50. Executive Order 13217, "Community-Based Alternatives for Individuals with Disabilities," June 18, 2001.

ARIZONA DEPARTMENT OF TRANSPORTATION

51. Executive Order 13330, "Human Service Transportation Coordination," Feb. 24, 2004.
52. Office of Management and Budget Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments," codified at 2 CFR part 225, Aug. 31, 2005.
53. Office of Management and Budget Circular A-94, "Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs," Oct. 29, 1992.
54. Office of Management and Budget Circular A-122, "Cost Principles for Non-Profit Organizations," codified at 2 CFR part 230, Aug. 31, 2005.
55. Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," June 23, 2003.
56. U.S. Department of Transportation Order to Address Environmental Justice in Minority Populations and Low-Income Populations, 62 FR 18377 (Apr. 15, 1997).
57. U.S. DOT Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient (LEP) Persons, 70 FR 74087 (Dec. 14, 2005).
58. FTA Circular 4220.1E, "Third Party Contracting Requirements," June 19, 2003.
59. FTA Circular 4702.1, "Title VI Program Guidelines for FTA Recipients," Oct. 1, 1998.
60. FTA Circular 5010.1C, "Grant Management Guidelines," Oct. 1, 1998.
61. FTA Circular 9030.1C, "Urbanized Formula Program Guidance and Application Instructions," Oct. 1, 1998.
62. U.S. General Services Administration, "Excluded Parties List System," www.epls.gov.
63. FTA Master Agreement FTA MA(13), Oct. 1, 2006.
64. FTA ECHO-Web System Operations Manual.
<http://www.fta.dot.gov/documents/ECHOWebRecipientUserManual.pdf>.
65. *Olmstead v L.C.*, 527 U.S. 581 (1999)